

Management System: Health & Safety Communications**Subject Area Description: Processes for a Safe Work Environment****Program Description: Employee Concerns Program (ECP)****Issue Date:** 09/01/2014**Revision Number:** 0**Management System Owner:** Office of the Director**ECP Manager:** T.J. Jackson**Subject Matter Expert:** Lynette Chafin

1.0 Purpose/Introduction

The purpose of this document is to establish an Environmental Management Consolidated Business Center (EMCBC) Employee Concerns Program (ECP) process. This process is implemented by the U.S. Department of Energy (DOE) EMCBC, Small Sites, and Contractors.

The ECP provides employees with an alternate avenue to have their concerns independently, objectively, and confidentially addressed.

2.0 Policies

Policy Statement on Equal Employment Opportunity, Harassment, and Retaliation, from Ernest J. Moniz, Secretary, dated December 31, 2013.

3.0 Roles and Responsibilities

Roles	Responsibilities
Senior Management	<ul style="list-style-type: none">• Ensures the ECP Manager reports to the senior management (e.g., EMCBC Director/Deputy Director, Small Sites Federal Project Director, Contractor CEO or President);• Ensures adequate qualified staffing and resources within the organization for addressing concerns;• Cultivates an organization whose management will not tolerate reprisals

	<p>against or intimidation of employees who raise concerns; and</p> <ul style="list-style-type: none"> • Ensures the correction of problems identified in ECP assessments.
ECP Manager and Staff	<ul style="list-style-type: none"> • Implement the approved EMCBC and Small Sites ECP and ensure concerns are processed as required by this Program Description and is consistent with the requirements of DOE O 442.1A, Section 4b and c; • Maintain a 24-hour “Hotline” for employees to report concerns; • Develop and implement employee awareness initiatives to ensure that employees remain informed and aware of the existence of the ECP and how they can access it; • Perform a self-assessment at least annually to measure the effectiveness of the ECP and the process used to implement these requirements; • Coordinate ECP investigation or corrective action activities with DOE and/or other contractors, as required; and • Ensure that participation in the investigation and/or resolution of a concern is performed in a manner that does not create a conflict of interest. • Coordinate and submit the quarterly and/or annual ECP Reports required by DOE O 442.1A.
Managers and Supervisors	<ul style="list-style-type: none"> • Support the ECP and its processes in good faith; • Accept responsibility for minimizing, correcting, and preventing recurrence of concerns that have been substantiated through the ECP process • Develop and implement corrective actions resulting from issues identified

	by the ECP; <ul style="list-style-type: none"> • Establish open communications to enable employees to raise concerns and address those concerns in a manner that protects the health and safety of employees and the public and ensures the efficient operation of DOE programs; and • Foster the free flow of information and ensure employees are not subjected to reprisal for raising concerns.
Employees	<ul style="list-style-type: none"> • Be familiar with the ECP policy and program description; • Elevate unresolved issues to the ECP in good faith; and • Cooperate with the ECP in the investigation and resolution of concerns.

4.0 Approach

The ECP provides a process to independently and objectively address concerns, including but not limited to health, safety, the environment, management practices, fraud, and waste, as well as harassment, intimidation, retaliation or reprisal for raising a concern, and discrimination. The DOE Order 442.1A, *Department of Energy Employee Concerns Program* is very prescriptive and identifies the actions and steps that must be taken to evaluate, document and close an ECP Concern.

The ECP is intended to *supplement*, not replace, existing processes designed to address concerns and resolve disputes. Employees are encouraged to report concerns to their line management at the lowest level possible. Employees are informed that some issues, specifically Equal Employment Opportunity (EEO) concerns and matters covered by a Collective Bargaining Agreement (CBA), are not within the scope of the ECP. The ECP may *not* be used to replace or augment the collective bargaining process for union represented employees.

5.0 Requirements

- 5.1 29 CFR 1960, “Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters”;
- 5.2 DOE Order 442.1A, “Department of Energy Employee Concerns Program”
- 5.3 DOE Guide 442.1A, “Department of Energy Employee Concerns Program Guide”

6.0 Supporting Management Systems, Subject Areas, and Procedures

Management System Description – Quality Assurance and Oversight

Subject Area Description – Quality Oversight and Assessment

Procedure – Management Assessment and Oversight

7.0 Forms/Exhibits

7.1 Employee Concerns Reporting Form, FM-OTSAM-442-01-F1

8.0 Definitions – See EMCBC MSD Definitions List or refer to DOE 442.1A, Section 7

EMCBC RECORD OF REVISION

DOCUMENT TITLE: Employee Concerns Program (ECP)

If there are changes to the controlled document before the two-year review cycle, the revision number stays the same; one of the following will indicate the change:

I Placing a vertical black line in the left margin adjacent to sentence or paragraph that was revised; or

I Placing the words GENERAL REVISION at the beginning of the text. This statement is used when entire sections of the document are revised.

If changes and updates occur at the two-year review cycle, the revision number increases by one.

Rev. No.	Description of Changes	Revision on Pages	Date
0	New Program Description	All	09/01/14